



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/456,877	12/08/99	SHIMIZU	M 25487.772

GRAHAM & JAMES LLP  
801 SOUTH FIGUEROA ST  
14TH FLOOR  
LOS ANGELES CA 90017-5554

0242/0120



NOT ASSIGNED

2837

DATE MAILED:

01/20/00

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

Application Number:

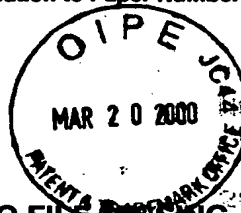
US 456,277 12/08/99 SHIMIZU

Application to Paper Number:

25484,772

0242/0120

BRANHAM & JAMES LLP  
201 SOUTH FIGUEROA ST  
18TH FLOOR  
LOS ANGELES, CA 90017-5554



NOT ASSIGNED

**REISSUE SUPPLEMENT TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION**

01/20/00

This Reissue Supplement is an attachment to:

- ☒ "Notice to File Missing Parts of Application" Filing Date Granted (PTO-1533)  
☐ "Notice to File Missing Parts of Application" No Filing Date Granted (PTO-1532)

The item(s) indicated below as missing must be filed within the period for reply to the attached Notice to File Missing Parts of Application to avoid abandonment.

The following items are required to complete the reissue application:

- ☐ Consent of the assignee is missing. 37 CFR 1.172 requires that the reissue oath/declaration be accompanied by the written consent of all assignees.
- ☒ Assignee's statement under 37 CFR 3.73(b) establishing ownership of the patent is missing. 37 CFR 1.172 requires that all assignees consenting to the reissue establish their ownership interest in the patent by filing in the reissue application a statement in accordance with 37 CFR 3.73(b).

N.A. Day  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

#3  
PATENT  
25484.772

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Reissue Application of  
Masahiro SHIMIZU  
Original Patent No.: 5,696,342  
Issued: December 9, 1997  
Serial No. 08/675,447  
Filing Date: July 3, 1996  
For: TONE WAVEFORM GENERATING  
METHOD AND APPARATUS BASED ON  
SOFTWARE



CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

BOX REISSUE  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

YAMAHA CORPORATION, a corporation of Japan, certifies that it is the assignee of the entire right, title and interest in the patent identified above by virtue of an assignment from the inventors of the patent identified above. The assignment was forwarded to the Assignment Branch of the U.S. Patent and Trademark Office for recordation on July 3, 1996, and was recorded on Reel 8075, Frame 0251. A copy of the assignment is attached.


I am empowered to act on behalf of the assignee and have reviewed all the documents in the chain of title of the patent identified above. To the best of my knowledge and belief, title is in the assignee identified above.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section

1001 of Title 18 of the United States Civil Code and that such willful false statements may jeopardize the validity of the reissue application or any patent issued therefrom.

YAMAHA CORPORATION

Dated: February 16, 2000

By: 

Name: Kosuke Kamo  
General Manager of

Title: Intellectual Property Div.

#3

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: March 13, 2000

Marsha K. Reynolds  
Marsha K. Reynolds



Se Jbr J  
9200

**PATENT**  
25484.00772

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Reissue Application of  
Masahiro SHIMIZU  
Original Patent No.: 5,696,342 ✓  
Issued: December 9, 1997  
Serial No. 08/675,447 ✓  
Filing Date: July 3, 1996  
For: TONE WAVEFORM GENERATING  
METHOD AND APPARATUS BASED ON  
SOFTWARE

Group Art Unit: 2837

Examiner:

**TRANSMITTAL LETTER**

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notice To File Missing Parts Of Application, Filing Date  
Granted, mailed January 20, 2000, enclosed please find the following:

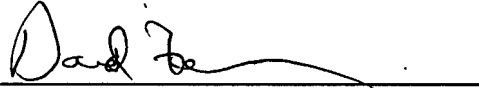
1. Copy of the Notice to File Missing Parts;
2. Copy of the Reissue Supplement to Notice to File Missing Parts;
3. Check in the amount of \$130.00 to cover the surcharge;
4. Reissue Application Declaration and Power of Attorney signed by the  
inventor;
5. Certificate Under 37 C.F.R. § 3.73(b);

6. Combined Assignee's Consent to Reissue and Offer to Surrender; and
7. Original Letters Patent No. 5,696,342.

The Commissioner of Patents is authorized to charge any shortage in the fees due or credit any overpayment to Deposit Account No. 07-1853.

Date: March 13, 2000

Respectfully submitted,



David L. Fehrman  
Attorney for Applicant(s)  
Registration No. 28,600

**GRAHAM & JAMES LLP**  
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